

Sir:

A filing receipt for the above-identified patent application has been issued by the U.S. Patent and Trademark Office (copy attached) and has been found to contain the following error(s):

- (1) The mailing address reads "LYON AND LYON LLP, Suite 4700, 633 West Fifth Street, Los Angeles CA 90071-2066," but should read --BOZICEVIC, FIELD & FRANCIS, LLP, 200 Middlefield Road, Suite 200, Menlo Park, CA 94025—
- (2) The Filing Date reads "01/01/2000," but should read -01/10/2000
- (3) The Attorney Docket No. reads "249/075", but should read --GUID-006CON6-- and
- (4) The Continuing Data as Claimed by Applicant reads "THIS APPLICATION IS A CON OF 09/385,812 08/30/1999, WHICH IS A CON OF 08/787,748 01/27/1997 ABN," but should read --THIS APPLICATION IS A CON OF 09/385,812 08/30/1999, Which is a CON of 08/903,516 filed 07/30/1997 PAT 5,944,736, WHICH IS A CON OF 08/787,748 01/27/1997 ABN

A copy of the Express Mail Label and Postcard is attached to indicate the correct date of Filing for this application. The first page of the specification is also enclosed to indicate the correct continuing data as claimed by the applicant.

Atty Dkt. No.: GUID-006CON6

USSN: 09/480,828

Some of the above corrections are due to applicant's error and the fee therefor, under 37 C.F.R. 1.19(h), of \$25.00 is paid as follows:

\_\_\_\_ Enclosed is a check.

X Charge Account No. 50-0815.

Please return the enclosed postcard stamped with the Patent and Trademark Office date stamp to evidence receipt of this request.

Respectfully submitted,
BOZICEVIC, FIELD & FRANCIS LLP

By:

Alan W. Cannon

Registration No. 34,977

BOZICEVIC, FIELD & FRANCIS LLP

200 Middlefield Road, Suite 200

Menlo Park, CA 94025

Telephone: (650) 327-3400 Facsimile: (650) 327-3231

F:\DOCUMENT\GUID\006CON6\Request for Corrected Filing Receipt.wpd

## FEE TRANSMIPTAIS Note: Effective October 1, 7998. Patent fees are subject to annual revision 1000 TRADE METHOD OF PAYMENT A CHECK IS ENCLOSED Deposit Account No. 50-0815. Deposit Account Name: Bozicevic, Field & Francis LLP

Attorney Docket Number	JID-006CON6			
First Named Inventor	charles S. Taylor et al.			
Application Number	09/480,828			
Filing Date	January 10, 2000			
Group Art Unit	3731			
Examiner Name	Access Platform for Internal Mammary			

2.  $\overline{X}$  The Commissioner is hereby authorized to charge any additional fees including fees required under 37 CFR 1.16 and 1.17 and credit any overpayments to:

					FE	E CAL	CULAT	ION					
1. FI	LING	FEE											
Large Fee Code Entity Fee (\$)		ee (\$)	Small Fee Code Entity F		Entity Fe	e (\$)	Fee Description			_Fee l	<u>Due</u>		
	101		69	0	201	. 345			Utility	filing fe	ee	\$	
	102		31	0	206 155		Design	n filing f	ee				
	104		48	0	207		240		Plant t	filing fee			
	109		69	0	208	345			Reissue filing fee				
	110		150	0	214		75		Provisional filing fee				
											Subtotal (1)	\$	
2. Cl	LAIMS	5											
No. of	claims a	s filed			Most claims	Extra				Fee			
or afte	r amendn	nent			previously paid		<u>claims</u>		<u>below</u>			<u>Due</u>	
Total o	laims			-	20	=		x =			<b>-</b> \$		
Ind. cl	aims			-	3	=		x		=	=		
<u>Mu</u> ltip	le Depen	dent cla	ims						х		=	=	
	e Fee Co		Entity F	Fee (\$)	Small Fee Code	F	Entity Fe	e (\$)	Fee D	escriptio	n		
•	103		18		203	9			Claims in excess of 20				
	102		78	3	· 202	39			Independent claims in excess of 3				
	104		260		204	130		•					
	109		78		209	39			Multiple dependent claim Reissue independent claims over original pa			riginal patent	
	110		18		210		9			ssue claims in excess of and over original patent			nt
	110		18 210				7 Reissue ciaii			Subtotal (2)			
3.	ADDI	TION	AL FE	CES	···								
Large	Entity	Small	Entity	Fee Descri	ntion	Fee	Large	Entity	Small	Entity	Fee Description		Fee
Fee	Fee	Fee	Fee	rec Besch	ption	Due	Fee	Fee	Fee	Fee	rec Bescription	•	Du
Code	(\$)	Code	(\$)				Code	(\$)	Code	(\$)			
105	130	205	65	Surcharge		127	50	227	25	Surcharge - late pro- fee or cover sheet	visional filing		
139	130	139	130	Non-English specification			147	2,520	147	2,520	Filing a request for reexamina		
115	110	215	55	Ext. for reply within first month			116	380	216	190	Ext. for reply within second mon		
117	870	217	435	Ext. for reply within third month			118	1,360	218	680	Ext. for reply within	fourth month	
128	1,850	228	925	Ext. for reply within fifth month			119	300	219	150	Notice of Appeal		
120	300	220	150	Filing brief in support of appeal			121	260	221	130	Request for oral hea	ring	
140	110	240	55	Petition to revive - unavoidable			141	1,210	241	605	Petition to revive - u	inintentional	
142	1,210	242	605	Utility issue fee (or reissue)			122	130	122	130	Petitions to the Com	nmissioner	
123	50	123	50	Petitions related to prov. appl.			126	240	126	240	Submission of IDS		
146	690	246	345	Filing submission after final rejection (37 CFR 1.129(a))			149	690	249	345	For each additional examined (37 CFR		
112	920°	112	920 <b>°</b>	Requesting publication of SIR prior to Examiner action			113	1840°	840° 113 1840		Requesting publication of SIR after Examiner action		
143	430	243	215	Design issu			144	580	244	290	Plant issue fee		
581	40	581	40	Recording patent assignment					quest for Corrected Filing Receipt		25.		
	ed by Bas			J	. •		•			St	JBTOTAL (3) \$ 25.00		
								TOT	AL AM	OUNT E	NCLOSED (\$)	25.00	
SUBMITTED BY Complete (if applicable)													
Typed or Printed Name Alan W. Cannon, BOZICEVIC, FII				ELD &	LD & FRANCIS LLP				Reg. Number	34,977			
Signat	ure		17		em		Date	171	7/0	90 [	Deposit Account	50-0815	
		CLUDYO	06CONS	Fee Trans	for Corrected Filing R	occipt u						<del>'</del>	_





### UNITED STATES DEPARTMENT OF COMMERCE Patent and Trademark Office

Address: ASSISTANT SECRETARY AND COMMISSIONER OF PATENT AND TRADEMARKS

Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/480,828	01/01/2000	3731	976	249/075	62	18	5
22249 LYON & LYON LLP SUITE 4700 633 WEST FIFTH STR LOS ANGELES, CA 90			EVIC, FIE MIDDLEFE LO PARK	LLS of FRANCIELD ROAD,	6W0-006 CLS LLP SUITE 2 25		-

Date Mailed: 05/26/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

#### Applicant(s)

CHARLES S. TAYLOR, San Francisco, CA; William N. Aldrich, Redwood City, CA; Federico J. Benetti, MD, Sante Fe, ARGENTINA; Richard S. Ginn, San Jose, CA; Dwight P. Morejohn, Davis, CA; Brent Regan, Davis, CA; Eugene E. Reis, San Jose, CA; Ivan Sepetka, Los Altos, CA; William F. Witt, Palo Alto, CA;

#### Continuing Data as Claimed by Applicant

THIS APPLICATION IS A CON OF 09/385,812 08/30/1999 WHICH IS A CON OF 08/787,748 01/27/1997 ABN WHICH IS A CIP OF 08/619,903 03/20/1996 PAT 5,976,171 WHICH IS A CIP OF 08/604,161 02/20/1996 PAT 5,730,757

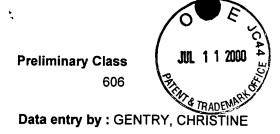
Which is A con of 08/903,576
FILED 07/30/97
PATENT NO.
5,944,736 RECEIVED
JUNI 6 2000

Foreign Applications

If Required, Foreign Filing License Granted 02/17/2000

Title

ACCESS PLATFORM FOR INTERNAL MAMMARY DISSECTION



Team : OIPE Date: 05/26/2000

#### 

# LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15

#### **GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CRF 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

#### PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents Office of Initial Patent Examination Customer Service Center Washington, DC 20231

Please acknowledge receipt of the rollowing by affixing hereon the Patent and Trademark Office date stamp and returning this card to our office. Applicant: Charles S. Taylor, et al. Serial No.: Not Yet Assigned ACCESS PLATFORM FOR INTERNAL MAMMARY For: DISSECTION Filed: Herewith CONTINUATION: APPLICATIO Attorney(s): Kenneth S. Roberts

Docket No.:

249/075

Date of Deposit:

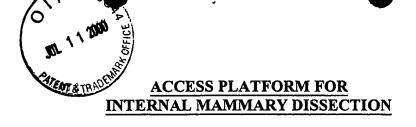
January 10, 2000 EL508737254US

Express Mail No.: Enclosure(s):

Patent Application Transmittal; Specification, Preliminary Statement; 62 pages Formal Drawings, IDS Transmittal, form

OC-41955.1

POST OFFICE TO ADDRESSEE  EXPRES MAIL UNITED STATES POSTAL SERVICE	- 1100(816:41)
ORIGIN (POSTAL USE ONLY) PO ZIP Code Day of Delivery Flat Rate Envelope	EL508737254US
Date in Postage    No.   Dey   Cyan     12 Moon   3 PM   \$   Same   2 PM	SEE REVERSE SIDE FOR SANTASE SERVICE GUARANTEE AND LIMITS ON INSURANCE COVERAGE
Coze   Acceptance Clerk Initials   Total Postage A Fees	F SIGNATURE (Cornestic Only): Additional murchandles (seurance sevoid if weber of standard is negrected.
Emmess Mail Composts Acrd No. 2 63 8 2 9 7 3	ny to be made without obtaining signature of addressee or addressee is againt (if delivery employee judges an be left in secure location) and if authorize that fielivery employee is eignature constitutes which proof of it.    Weekend
FROM: (PLEASE PRINT) PHONE (949) 567-2300  LYGN 8 LYON 1900 MAIN ST FL 6 LKVING CA 9251+-7200  249/075 KSRoberts	SOX PATENT APPLICATION ASSISTANT COMMISSIONER FOR PATENTS WASHINGTON, D.G. 40661
PRESS HARD. FOR PICKUP OR TRACKING CALL 1-800-	



This application is a continuation of co-pending application Serial No. 09/385,812, filed August 30, 1999, which in turn is a continuation of Serial No. 08/903,516, filed on July 30, 1997, now issued as U. S. Patent No. 5,944,736, which in turn is a continuation of Serial No. 08/787,748, filed on January 27, 1997, now abandoned, which in turn is a continuation-in-part of application Serial No. 08/619,903, filed on March 20, 1996, now issued as U.S. Patent No. 5,976,171, which in turn is a continuation-in-part of co-pending application Serial No. 08/604,161, filed on February 20, 1996, now issued as U.S. Patent No. 5,730,757, the disclosures of which are incorporated herein by reference as if set forth in full.

#### DESCRIPTION

#### Field of the Invention

This invention relates to retractors, and more particularly to an access platform that facilitates access to the interior of the chest cavity during surgical procedures.

#### Background of the Invention

20

25

5

10

15

Diseases of the cardiovascular system affect millions of people each year and are a leading cause of death in the United States and throughout the world. The cost to society from such diseases is enormous both in terms of lives lost and the cost of treating cardiac disease patients through surgery. A particularly prevalent form of cardiovascular disease is a reduction in the blood supply to the heart caused by atherosclerosis or other conditions that create a restriction in blood flow at a critical point in the cardiovascular system leading to the heart. In